

# Coordinated Compliance Review

## Adult Education

### 2003-04

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Program Goal	Key Dimensions
<p>To establish quality instruction for adults in authorized program areas (e.g., elementary and high school basic skills and other courses and classes required for the high school diploma, English as a second language [including ESL-Citizenship], citizenship and workforce preparation for immigrants, parenting, substantially handicapped adults, vocational education, older adults, apprentices, home economics, health and safety) that will (1) enable adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency; (2) assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children; and (3) assist adults in the completion of a secondary school education.</p> <p><i>Note:</i> This program instrument is a guide for monitoring compliance and, in some cases, contains only a sampling of compliance issues. This document does not cover the complete list of state and federal regulations or other legal mandates governing adult education with which local educational agencies must comply. Please be aware that applicable legal citations for adult education include, but are not limited to, the following:</p> <p>Workforce Investment Act, Title II; <i>California Code of Regulations, Title 5</i>; California <i>Education Code</i>; <i>California State Plan for Adult Education</i>; and California Department of Education letters and advisories.</p> <p>Because the methodology of the California Department of Education validation review team includes sampling, the validation review cannot produce an all-inclusive assessment of all the items in this instrument. It is the responsibility of the LEA to ensure that its systems, programs, and related activities comply with all applicable laws, regulations, and directives.</p>	<p><b>I. Standards, Assessment, and Accountability</b> To ensure that all educational programs are based on high and challenging standards and are accompanied by a process for monitoring and determining effectiveness</p> <p><b>VI. Governance and Administration</b> To ensure that all schools conduct high-quality programs that are effectively managed and operated within appropriate legal parameters</p> <p><b>VII. Funding</b> To ensure that financial plans and practices meet legal requirements and programs operate to achieve the local educational agency's priorities and goals for student success</p>

I	<b>Standards, Assessment, and Accountability</b> To ensure that all educational programs are based on high and challenging standards and are accompanied by a process for monitoring and determining effectiveness			
Compliance Item/Test		Review Level/Guidance	How to Achieve Compliance	Notes
<b>I-A1a</b> All adult education apportionment classes are instructional in nature and meet the required standards of attendance, curriculum, and administration.  (EC 1904, 41976, 46190, 52506, 52518, 52570, 52571; <i>State Budget Act Language</i> , Sections 6110-156-001and 6110-158-001; 5 CCR 4600–4671)		<b>Program and Site</b> <ul style="list-style-type: none"><li>• <b>Review</b> program flier, class schedule, student registration forms, and attendance records for evidence of required standards.</li><li>• <b>Review</b> the California Department of Education (CDE) letter of approval for the attendance accounting system.</li><li>• <b>Interview</b> staff and students.</li></ul>	<ul style="list-style-type: none"><li>• The school district counts attendance only for educational activities.</li><li>• The district does not report for apportionment more than 15 hours per week of attendance unless the classes are elementary subjects, high school credit classes, English as a second language (ESL), citizenship, or short-term vocational classes with high employment potential.</li><li>• The district has received official approval of the attendance accounting system. A letter from the California Department of Education is on file. The district counts for apportionment only those students enrolled in approved courses that are approved by CDE.</li><li>• Students are aware of and receive written information about uniform complaint procedures.</li></ul>	
<b>I-A1b</b> All adult education apportionment classes are instructional in nature and meet the required standards for curriculum.  (EC 1900, 41979, 52506, 52518, 52570)		<b>Program and Site</b> <ul style="list-style-type: none"><li>• <b>Review</b> course outlines and observe classes for evidence that instruction follows course outlines.</li><li>• <b>Review</b> the program's process for determining education goals and learning objectives for each student and for measuring students' progress.</li><li>• <b>Interview</b> staff and students.</li></ul>	<ul style="list-style-type: none"><li>• All classes are instructional in nature and are not designed as therapy, dancing, recreational physical education, or production.</li><li>• The district has a system for identifying student goals, assessing student learning needs, and documenting student progress.</li></ul>	

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<b>I-A1c</b> All adult education apportionment classes are instructional in nature and meet the required standards of administration. The adult education program follows uniform complaint procedures.  (EC 1903, 1904, 52506, 52571, 52572, State Budget Act Language Sections 6110-156-001 and 6110-158-001)	<b>Program and Site</b> <ul style="list-style-type: none"> <li>• <b>Review</b> program flier, class schedule and student registration forms for evidence of required standards.</li> <li>• <b>Review</b> process for using the TOPSpro data collection system.</li> <li>• <b>Review</b> educational procedures for students with disabilities.</li> <li>• <b>Review</b> uniform complaint procedures and written evidence that students receive information about them.</li> <li>• <b>Interview</b> staff and students.</li> </ul>	<ul style="list-style-type: none"> <li>• Students have completed all parts of the registration form.</li> <li>• TOPSpro reports show that there is a record of all students in all programs for the entire year of the program's operation.</li> <li>• Students are aware of and receive written information about uniform complaint procedures.</li> </ul>	
<b>I-A1d</b> The school district offers all classes for adults wholly within the boundaries of the district unless exempted by <i>Education Code</i> Sections 52511(a)(b), 52530, and 52572.	<b>Program and Site</b> <ul style="list-style-type: none"> <li>• Review promotional materials, the schedule of classes, and the list of current sites where the program offers instruction.</li> <li>• Review the map or description of the school district's boundaries.</li> <li>• Review the mailing list for distribution of promotional materials.</li> <li>• Interview the principal, teachers, and students.</li> </ul>	<ul style="list-style-type: none"> <li>• All classes that the program offers are within the school district's boundaries.</li> <li>• The distribution of promotional materials verifies efforts to reach adults throughout the district.</li> </ul>	
<b>I-A2</b> The school district must have available course outlines that reflect the course of study for all approved apportionment classes.  (EC 1900, 41976, 51220, 52504, 52515, 52516, 52570)	<b>Program and Site</b> <ul style="list-style-type: none"> <li>• <b>Compare</b> courses offered to those on the approved Course Approval Request Form.</li> <li>• <b>Review</b> course outlines.</li> </ul>	<ul style="list-style-type: none"> <li>• Outlines match courses listed on the district's approved Course Approval Request Form for the current year.</li> <li>• All course outlines reflect components directed by law such as content area, number of hours of instruction, methodology of instruction, (independent study, innovative approaches, etc.) and requirements for evaluation and data collection.</li> </ul>	

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<p><b>I-A3</b> The agency has implemented the standards described in <i>English as a Second Language: Model Standards for Adult Education Programs</i> for all English-as-a-second-language (ESL) (including ESL-Citizenship) classes funded by state apportionment.</p> <p>(EC 52506; <i>English as a Second Language: Model Standards for Adult Education Programs</i> [1992])</p>	<p><b>Program and Site</b></p> <ul style="list-style-type: none"> <li>• <b>Review</b> ESL (including ESL-Citizenship) course outlines for elements of model standards.</li> <li>• <b>Review</b> the ESL staff development plan and its implementation.</li> <li>• <b>Interview</b> the adult education director, ESL (including ESL-Citizenship) coordinator, and teachers.</li> <li>• <b>Interview</b> ESL and ESL-Citizenship enrollees.</li> <li>• <b>Observe</b> ESL (including ESL-Citizenship) classroom instruction, which must be in English.</li> </ul>	<ul style="list-style-type: none"> <li>• The curriculum shows evidence of an articulated sequence of ESL courses from ESL beginning literacy through ESL advanced high levels.</li> <li>• ESL course outlines contain the seven levels of language proficiency and reflect the four categories of general standards in the outcomes and the nine general standards of testing in assessment.</li> <li>• Curriculum, course outlines, teaching behaviors, and staff development reflect a system for and show evidence of implementation of the model standards, including ESL instruction in English.</li> </ul>	
<p><b>I-A4</b> If the school district grants an adult school diploma, the standards for the diploma meet the requirements of the <i>Education Code</i>.</p> <ul style="list-style-type: none"> <li>▪ Requirements for granting the adult school diploma meet the standards set by the <i>Education Code</i> as follows: <ul style="list-style-type: none"> <li>— 3 years of English</li> <li>— 2 years of mathematics, including 1 year of Algebra</li> <li>— 2 years of science, including biological and physical science</li> <li>— 3 years of social studies, including 1 year of U.S. history and geography; 1 year of world history, culture, and geography; 1 semester of American government and civics; and 1 semester of economics</li> <li>— 1 year of visual or performing arts or a foreign language (may be American Sign Language)</li> <li>— 2 years of physical education (unless exempted by local policy)</li> <li>— Other course work as the governing board of the school district may by rule specify</li> </ul> </li> </ul> <p>(EC 1901, 51224.5, 51225.3, 51230, 52504, 52507)</p>	<p><b>District and Program</b></p> <ul style="list-style-type: none"> <li>• <b>Review</b> board policy.</li> <li>• <b>Review</b> evidence that classes for the adult education diploma reflect the California Department of Education model curriculum standards.</li> </ul>		

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<b>I-A5a</b> Before establishing a vocational or occupational education program, the district shall conduct a job market study of the labor market area where it will establish the vocational program to justify the establishment of the proposed course of instruction.  (EC 52519)	<b>District</b> <ul style="list-style-type: none"> <li>• <b>Review</b> the job market study for evidence of the need for vocational programs offered.</li> </ul>	<ul style="list-style-type: none"> <li>• The district has conducted job market surveys for all vocational courses and programs it offers.</li> <li>• Job market surveys are current within the last two years.</li> <li>• The local governing board approved the course or the contract with an approved private postsecondary school.</li> </ul>	
<b>I-A5b</b> Any approved vocational or occupational training program for adults needs to be reviewed every two years.  (EC 52520)	<b>District</b> <ul style="list-style-type: none"> <li>• <b>Review</b> the job market study for evidence of the need for vocational programs offered.</li> <li>• <b>Review</b> process of review for these programs, including assurances of the governing board.</li> </ul>	<ul style="list-style-type: none"> <li>• Job market surveys are current within the last two years.</li> <li>• Documentation shows that the governing board was part of the two year review process and assures that the criteria in Education Code Section 52520 has been met.</li> </ul>	
<b>I-A6</b> The school district collects and reports data required by state regulations.  (EC 52501.3, 52522, <i>State Budget Act Language</i> Sections 6110-156-001 and 6110-158-001)	<b>District</b> <ul style="list-style-type: none"> <li>• <b>Review</b> the school district's data collection process and documentation for the adult education program.</li> <li>• <b>Interview</b> the chief fiscal officer.</li> <li>• <b>Review</b> the district's CalWORKs and Performance-Based Accountability reports.</li> </ul>	<ul style="list-style-type: none"> <li>• The agency collects and reports adult education student data, including information on types and amounts of services provided to program participants, characteristics of participants, and pupil and program outcomes.</li> <li>• Agencies receiving funds for training of CalWORKs eligible students collect program and participant data specified in the Required Data Elements Record Layout.</li> <li>• The agency collects and reports data for all students enrolled in vocational programs that meet Performance-Based Accountability criteria. (Students must enroll in classes scheduled for a minimum of 12 hours per week, attend 20 hours or more in those classes, and sign "yes" on the PBA Privacy Notice and Student Consent Form.)</li> </ul>	

VI	<b>Governance and Administration</b> To ensure that all schools conduct high-quality programs that are effectively managed and operated within appropriate legal parameters		
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<b>VI-A8a</b> All teachers of adult education classes are part of the adult school faculty and are under the direct supervision of the adult education administrators.  (EC 52523[b])	<b>District</b> <ul style="list-style-type: none"> <li>• <b>Interview</b> the teacher, director, and/or administrator.</li> <li>• <b>Examine</b> the organizational chart</li> </ul>	<ul style="list-style-type: none"> <li>• The adult school administrator supervises all adult school faculty.</li> <li>• The program organizational chart shows that the adult school administrator supervises teachers in the adult education program.</li> </ul>	
<b>VI-A8b</b> For apportionment purposes, the computation includes only the attendance of students under the immediate supervision and control of an employee of the district who possesses a valid, registered, and appropriate certification document.  (EC 46300[a])	<b>District and Site</b> <ul style="list-style-type: none"> <li>• <b>Observe</b> classes.</li> <li>• <b>Interview</b> the director, teachers, and aides.</li> <li>• <b>Confirm</b> the relationship between teacher aides who work directly with students and the credentialed teacher.</li> <li>• Review <b>credential documentation</b>.</li> </ul>	<ul style="list-style-type: none"> <li>• Credentialed school district employees supervise all apportionment classes and are responsible for the delivery of educational services in classes for which the district claims apportionment.</li> <li>• Teacher aides working with students carry out the instructional program of the credentialed teacher.</li> <li>• The credentialed teacher is responsible for the students.</li> </ul>	
<b>VI-A9</b> To be eligible for state apportionment, classes for adults are located in facilities clearly identified in such a manner to ensure that attendance in such classes is open to the general public; classes in correctional facilities, state hospitals and classes for adults with disabilities are excepted.  (EC 1900, 1903, 52517, 52570)	<b>District and Site</b> <ul style="list-style-type: none"> <li>• <b>Visit</b> class sites.</li> <li>• <b>Review</b> promotional materials.</li> </ul>	<ul style="list-style-type: none"> <li>• All classes (except those for students in correctional facilities, state hospitals and students with disabilities) are open to all adult students.</li> <li>• The district informs the general adult public about all adult education opportunities.</li> <li>• The district does not exclude students from classes, except when classes reach the maximum attendance levels set by the district.</li> <li>• Promotional materials list all classes offered.</li> <li>• A sign visible to the public identifies all instructional sites, including nursing homes, convalescent hospitals, community centers, churches, and so forth.</li> </ul>	

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<b>VI-A10</b> The minimal time assignments of properly credentialed personnel used exclusively for administration, supervision, evaluation, curriculum development, and counseling and guidance services in an adult school are met and are based on the number of average daily attendance (a.d.a.) units of the preceding fiscal year.  (5CCR 10560[b][c])	<b>District</b> <ul style="list-style-type: none"><li>• <b>Review</b> appropriate time sheet records.</li><li>• <b>Interview</b> the director.</li><li>• <b>Examine</b> the job descriptions for administrative, supervisory, evaluation, curriculum development, and counseling and guidance personnel funded by adult education monies.</li><li>• <b>Ensure</b> that minimal time assignments for a.d.a. of the preceding fiscal year are as follows: <table><tr><td>100–199</td><td>One-half time of one administrator</td></tr><tr><td>200–299</td><td>One full-time administrator</td></tr><tr><td>300–399</td><td>One full-time administrator and one-fourth time of one other person</td></tr><tr><td>400</td><td>One full-time administrator and one-half time of one person for each 200 units of such a.d.a. in excess of 200</td></tr></table><table><tr><td><i>a.d.a.</i></td><td><i>Days</i></td></tr><tr><td>15</td><td>15</td></tr><tr><td>30</td><td>30</td></tr><tr><td>75</td><td>75</td></tr><tr><td>90</td><td>90</td></tr></table>(Partial days may be added to equal a day.)</li></ul>	100–199	One-half time of one administrator	200–299	One full-time administrator	300–399	One full-time administrator and one-fourth time of one other person	400	One full-time administrator and one-half time of one person for each 200 units of such a.d.a. in excess of 200	<i>a.d.a.</i>	<i>Days</i>	15	15	30	30	75	75	90	90	<ul style="list-style-type: none"><li>• Time accounting for properly credentialed personnel for adult classes maintained in conjunction with other schools/centers (programs with less than 100 a.d.a.) for administrative, supervisory, evaluation, curriculum development, and counseling and guidance services amounts to a minimum of one day per year for each unit of a.d.a. generated by adults in classes during the preceding fiscal year.</li><li>• Partial days are added to equal a day.</li><li>• When a district maintaining classes for adults in connection with a high school has a total a.d.a. of 100 or more in the preceding fiscal year, the governing board shall establish a separate adult school as a separate administrative unit.</li></ul>	
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15	15																				
30	30																				
75	75																				
90	90																				
<b>VI-A11a</b> The district does not claim apportionment for students enrolled in a course that the California Department of Education has not approved as being within one of the ten program areas.  (EC 41976, 52515))	<b>District and Program</b> <ul style="list-style-type: none"><li>• <b>Review</b> approved Adult Education Course Approval Request Forms.</li><li>• <b>Review</b> promotional materials and compare them with the approved Adult Education Course Approval Request Form.</li><li>• <b>Note</b> whether brochures, schedules, and records list separately the state-funded and community service classes.</li></ul>	<ul style="list-style-type: none"><li>• The district maintains a file of the approved Adult Education Course Approval Request Forms for all state apportionment courses.</li><li>• All state-funded classes listed in promotional materials are on the approved Course Approval Request Form for the current year.</li><li>• In promotional materials the agency clearly identifies state-funded classes and separates them from fee-based, community service classes, which are clearly indicated as such.</li></ul>																			

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<p><b>VI-A11b</b> The school district claims student attendance only for students who meet the rules for attendance.</p> <p>(EC 46190, 46191, 46300, 46300.4; 5 CCR 404, 406[b])</p>	<p><b>District and Program</b></p> <ul style="list-style-type: none"> <li>• <b>Review</b> directions given to teachers for marking attendance and teachers' attendance sheets.</li> <li>• <b>Review</b> attendance records to ensure that the district is accurately accounting for student attendance.</li> </ul>	<ul style="list-style-type: none"> <li>• If a student is present for any part of a scheduled hour or scheduled partial hour, the district can claim the student's attendance for the full hour or scheduled partial hour.</li> <li>• The district claims the student attendance for a following hour or scheduled portion of an hour of the same class only when the student is present for some part of that hour.</li> <li>• The district claims attendance of students in a "laboratory" setting only for the amount of time that the student actually attended.</li> </ul>	
<p><b>VI-A12</b> The school district expends adult education funds only for direct instructional cost, direct support cost, and indirect cost. The district uses one of two methods, <i>either</i>:</p> <ul style="list-style-type: none"> <li>• Direct instructional cost and direct support cost with auditable documentation and indirect cost limited to the lesser of the district's prior year approved indirect cost rate or the statewide average indirect cost rate for the second prior year</li> </ul> <p>or</p> <ul style="list-style-type: none"> <li>• Direct instructional cost and 8 percent of the annual revenue deposited in the school district's adult education fund</li> </ul> <p>(EC 52616.4)</p>	<p><b>District and Program</b></p> <ul style="list-style-type: none"> <li>• <b>Review</b> documentation for direct support costs and indirect costs.</li> <li>• <b>Review</b> documentation that supports nonpersonnel costs, substantiating that the adult education program received the service, supply, or equipment.</li> <li>• <b>Interview</b> the director.</li> <li>• <b>Look</b> for auditable documentation for each charge made against the adult education fund. (Would this cost occur if there were no adult education program?)</li> <li>• <b>Review</b> budget documents to verify income and expenditures, any transfers between funds, and charges to the adult school budget.</li> <li>• <b>Interview</b> business office personnel.</li> <li>• <b>Review</b> income and expenditure reports.</li> </ul>	<ul style="list-style-type: none"> <li>• There are no improper transfers between funds; that is, transfers from adult education funds into general funds or from general funds into adult education funds.</li> <li>• All charges in the adult school budget are solely adult school expenses.</li> <li>• There is documentation for each charge.</li> <li>• Current records exist to support personnel costs.</li> <li>• Job descriptions of administrative and supervisory personnel include adult education responsibilities proportionate to the percentage of salary paid by adult education funds.</li> <li>• Documentation shows compliance with requirements set forth in the <i>California School Accounting Manual</i>.</li> </ul>	



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<b>VI-A13</b> No charge of any kind shall be made for a class in English and citizenship for foreigners, a class in an elementary subject, or a class designated by the governing board as a class for which high school credit is granted when a person who does not hold a high school diploma takes the class.  (EC 52612)	<b>District, Program, and Site</b> <ul style="list-style-type: none"> <li>• <b>Review</b> promotional materials for references to fees.</li> <li>• <b>Review</b> budget documents for income from fees.</li> <li>• <b>Interview</b> the director about district policy on charges for students enrolled in ESL (including ESL-Citizenship), citizenship education, elementary subjects, or high school credit courses.</li> <li>• <b>Interview</b> students enrolled in ESL (including ESL-Citizenship), citizenship education, elementary subjects, and high school credit classes about whether the district charges them any registration, tuition, or other fees.</li> </ul>	<ul style="list-style-type: none"> <li>• The district does not charge fees of any kind to students in ESL (including ESL-Citizenship), citizenship education, or elementary subjects.</li> <li>• Students <i>may</i> purchase books and materials, but the district does not require students to do so as a condition of enrollment or attendance.</li> </ul>	
<b>VI-A14</b> No charge of any kind is allowed for adult students enrolled in ABE, ESL, ESL-Citizenship and High School Subjects when that student does not hold a High School Diploma.  (EC 52612, 52613, 60410)	<b>District, Program, and Site</b> <ul style="list-style-type: none"> <li>• <b>Ask</b> students whether the district provides materials and books free of charge for use in classes.</li> <li>• <b>Ask</b> how the district determines the cost of books available for sale to students.</li> </ul>	<ul style="list-style-type: none"> <li>• The charges for books and materials to students do not exceed the cost of those books and materials to the district. (The charge may include handling and storing.)</li> <li>• The district does not charge a fee of any kind to adults who are enrolled in ABE, ESL, ESL-Citizenship and ASE classes, if the adult does not have a high school diploma.</li> </ul>	

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<b>VI-A15</b> No school district shall file for state apportionment funds if the district receives full compensation for such class from any public or private agency, individual, or group of individuals, except for fees authorized by <i>Education Code</i> Section 52612.  (EC 51814, 52517)	<b>District and Program</b> <ul style="list-style-type: none"> <li>• <b>Review</b> the budget.</li> <li>• <b>Review</b> class fees.</li> <li>• <b>Review</b> cash deposits.</li> <li>• <b>Interview</b> the director about whether there are contract classes, such as work-based and others, which fully fund the cost of instruction.</li> <li>• <b>Compare</b> the budgets for state-funded classes with those for community service and contract classes.</li> <li>• <b>Determine</b> whether the district separates attendance reports of state-funded classes from those of contract and community service classes.</li> </ul>	<ul style="list-style-type: none"> <li>• Attendance reports from community service and contract classes are not commingled with those of authorized apportionment classes.</li> <li>• Budget income and expenses from community service and contract classes are not commingled with those of authorized apportionment classes.</li> </ul>	
<b>VI-A16</b> The district cannot claim any apportionment for high school students enrolled in adult courses in physical education, driver's education or training, music, band, drama, yearbook, athletic/activity camps, health and safety, and home economics or in courses for older adults, handicapped adults, or apprentices.  (EC 52500.1[a], 52523[e])	<b>Program and Site</b> <ul style="list-style-type: none"> <li>• <b>Review</b> student attendance and enrollment records.</li> <li>• <b>Review</b> records of required counseling sessions for concurrent students.</li> </ul>	<ul style="list-style-type: none"> <li>• High school students are enrolled only in authorized adult education courses.</li> </ul>	

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<b>VI-17a</b> The adult school program is designed for adults. The district does not use the adult education program to supplant the district's high school program.  (EC 52500, 52523)	<b>District, Program, and Site</b> <ul style="list-style-type: none"> <li>• Review student registration and attendance records.</li> <li>• Review course publicity showing that the course is offered when and where adults can attend and that the course is open to the public.</li> <li>• Review district's documents that show their efforts to use K-12 regular and supplemental funds for services to K-12 students.</li> <li>• Review K-12 and adult budgets that show how supplemental funds have been used for concurrent students.</li> <li>• Interview administration, staff and students.</li> </ul>	<ul style="list-style-type: none"> <li>• There is a tracking of efforts that the district has attempted to provide supplemental services to concurrent students using K-12 funds.</li> <li>• Adult education promotional materials list courses at a time and place where adults can attend.</li> <li>• Students attending adult education classes offered on the high school site during the high school day are predominantly adults.</li> </ul>	

<i>Compliance Item/Test</i>	<i>Review Level/Guidance</i>	<i>How to Achieve Compliance</i>	<i>Notes</i>
<b>VI-A17b</b> Concurrently enrolled K-12 students may enroll in and attend the adult school program provided that adult education funds are not supplanting K-12 funds and that criteria set in Education Code Section 52500.1 and 52523 are met.  (EC 52500.1, 52523)	<b>District, Program, and Site</b> <ul style="list-style-type: none"> <li>• <b>Review</b> local board policy on concurrent enrollment of high school students in adult education.</li> <li>• <b>Review</b> course descriptions to determine that any adult school course that is required for graduation is also offered at the high school.</li> <li>• <b>Review</b> payroll records to determine that the adult school employs the teaching staff at the adult school.</li> <li>• <b>Review</b> documentation of required counseling session.</li> <li>• <b>Review</b> a sample of documentation that shows the adult school program enriches the academic experience for each concurrently enrolled student.</li> <li>• <b>Determine</b> whether high school students are the primary attendees at any adult education class offered during the high school day.</li> <li>• <b>Interview</b> administrators, teachers, counselors, and students.</li> <li>• <b>Observe</b> classes.</li> </ul>	<ul style="list-style-type: none"> <li>• The high school student is enrolled in adult education for sound educational purposes that are consistent with <i>Education Code</i>.</li> <li>• The counseling session notes show that placement in the adult school program is voluntary, is supported by the parent and will enhance the student's progress toward a high school diploma.</li> <li>• The content and methods used in the adult education classes are consistent with the adult education course outlines on file.</li> </ul>	
<b>VI-A18a</b> Adults have priority over high school students in all adult education classes.  (EC 52523[a]; 5CCR 10524)	<b>District and Program</b> <ul style="list-style-type: none"> <li>• <b>Review</b> marketing materials for evidence that adults have priority for enrollment.</li> <li>• <b>Review</b> and <b>tabulate</b> registration forms for evidence that predominantly and primarily adults attend adult education classes.</li> </ul>	<ul style="list-style-type: none"> <li>• The district gives priority to adults for all classes the adult school offers.</li> <li>• The district excludes no adult from any class designated as an adult education class that concurrent students attend.</li> <li>• All classes are open for enrollment to all adult students.</li> </ul>	

<i>Compliance Item/Test</i>	<i>Review Level/Guidance</i>	<i>How to Achieve Compliance</i>	<i>Notes</i>
<b>VI-A18b</b> Classes offered to concurrently enrolled students are part of the regular adult education program and meet all course requirements for adult education.  (EC 52523)	<b>District and Program</b> <ul style="list-style-type: none"> <li>• <b>Examine</b> board policy on the concurrent enrollment of high school students in the adult education program.</li> </ul>	<ul style="list-style-type: none"> <li>• No class is limited to concurrently enrolled students.</li> </ul>	
<b>VI-A19a</b> The governing board has adopted an independent study policy that meets current legal requirements.  (EC 46300.4, 51225.3, 51745, 52505)	<b>District and Program</b> <ul style="list-style-type: none"> <li>• <b>Review</b> the district's Independent Study Policy and administrative regulations for evidence of specific procedures and criteria for independent study, including:               <ul style="list-style-type: none"> <li>— Limiting of independent study instruction to courses that meet high school diploma requirements</li> <li>— Maximum time that may elapse between the receipt of an assignment and the student's completion of it</li> <li>— Required scheduling of a traditional class setting for all courses also offered through independent study</li> </ul> </li> <li>• <b>Review</b> students' contracts for evidence that the district limits independent study to courses that meet the requirements for the high school diploma and that the district meets the master student contract requirements.</li> <li>• <b>Interview</b> the teacher and administrator to determine that independent study courses meet the requirements for a high school diploma.</li> <li>• <b>Review</b> promotional materials, class schedules, and attendance records to verify that independent study is not the only mode of delivery of instruction.</li> </ul>	<ul style="list-style-type: none"> <li>• The district policy specifies the maximum time that may elapse between the date an independent study assignment is given and the date the student must complete it.</li> <li>• Independent study guidelines include a system for reviewing the appropriateness of independent study for a particular student. Criteria include identifying the number of missed assignments allowed before the policy requires the student to terminate the independent study program.</li> <li>• The school maintains a current written agreement for each independent study pupil; and the district meets the master student contract requirements, which include specific independent study outcomes and guidelines.</li> <li>• Promotional materials and registration and attendance records indicate that students may enroll in traditional classes as well as independent study modes for the same courses.</li> </ul>	

<i>Compliance Item/Test</i>	<i>Review Level/Guidance</i>	<i>How to Achieve Compliance</i>	<i>Notes</i>
<b>VI-A19b</b> A district may not claim more than 15 hours of apportionment per five-day week for each adult student enrolled in a course offered through independent study.  (EC 46190, 46191, 46300[e])	<b>District and Program</b> <ul style="list-style-type: none"> <li>• <b>Review</b> student enrollment and attendance records to verify that students do not generate more hours in independent study than the total number of hours the district offers classroom instruction for the same courses.</li> </ul>	<ul style="list-style-type: none"> <li>• Staff interviews reflect a system for ensuring that each adult student in independent study does not generate apportionment for more than 3 hours per day and for not more than the total number of hours of classroom instruction the program offers for high school subjects.</li> <li>• The adult education apportionment for each student in independent study is limited to 3 hours per day. (For graduation credit purposes the student may earn more than 3 hours of credit per day.)</li> <li>• Attendance records show that for each independent study student, the district does not claim more than the total number of hours of classroom instruction it offers in adult education for high school subjects or more than 3 hours per day.</li> </ul>	

<b>VII</b>	<b>Funding</b> To ensure that financial plans and practices meet legal requirements and programs operate to achieve the local educational agency's priorities and goals for student success			
Agencies which receive federal funds for Adult Basic Education, English as a Second Language (including ESL-Citizenship), Workplace-Based Literacy, Family Literacy, and Adult Secondary Education must meet the criteria established in the Workforce Investment Act, Title II—Adult Education and Family Literacy, P.L. 105-220, cited here as Adult Education and Family Literacy Act, 20 USC 9241.				
<i>Compliance Item/Test</i>		<i>Review Level/Guidance</i>	<i>How to Achieve Compliance</i>	<i>Notes</i>
<b>VII-A20</b> All teachers of adult education classes are part of the adult school faculty and are under the direct supervision of the adult education administrators.  (EC 52523[b]))		<b>District</b> <ul style="list-style-type: none"><li>• <b>Interview</b> the teacher, director, and/or administrator.</li><li>• <b>Examine</b> the organizational chart</li></ul>	<ul style="list-style-type: none"><li>• The adult school administrator supervises all adult school faculty.</li><li>• The program organizational chart shows that the adult school administrator supervises teachers in the adult education program.</li></ul>	
<b>VII-A21</b> Each local provider follows all federal and state plan rules and regulations for each priority for which it receives funds and follows uniform complaint procedures.  (Adult Education and Family Literacy Act, 20 USC 9241; <i>California State Plan 1999-2004</i> , Chapter 3)		<b>Agency</b> <ul style="list-style-type: none"><li>• Review student files and agency records regarding required activities for the priorities and the components for Priorities 2 and 4.</li><li>• Examine evidence that the agency and students meet all requirements for components.</li><li>• Examine agency files, brochures, and publicity materials for evidence of the uniform complaint procedure and its availability to all students.</li><li>• Interview students about the components and the uniform complaint procedure.</li></ul>	<ul style="list-style-type: none"><li>• The agency has records showing how it meets the components for Priorities 2 and 4.</li><li>• The agency has a uniform complaint procedure, which it follows and displays.</li><li>• Students are aware of the uniform complaint procedure.</li></ul>	

<i>Compliance Item/Test</i>	<i>Review Level/Guidance</i>	<i>How to Achieve Compliance</i>	<i>Notes</i>
<p><b>VII-A22</b> Local providers will demonstrate a commitment to serving the individuals most in need, as described in Priorities 1, 2, and 3. The agency has in place a plan for determining and addressing additional literacy needs in the community.</p> <p>(Adult Education and Family Literacy Act, 20 USC 9241; <i>California State Plan 1999-2004</i>, Chapter 6)</p>	<p><b>Agency</b></p> <ul style="list-style-type: none"> <li>• <b>Review</b> files on local demographics and community needs assessments.</li> <li>• <b>Review</b> enrollment and attendance data.</li> <li>• <b>Examine</b> outreach and recruitment activities, such as fliers and newspaper, radio, or TV announcements.</li> <li>• <b>Review</b> data indicating the percentage of the unserved target population in the agency's priority levels.</li> <li>• <b>Review</b> the agency's plan or process for frequent needs assessment and evaluation of the agency's success in meeting community needs.</li> </ul>	<ul style="list-style-type: none"> <li>• Data-based community needs assessments support the number or percentage of local residents needing literacy programs.</li> <li>• Attendance data and increased enrollment verify the effectiveness of recruitment or outreach documents and activities.</li> <li>• Documents such as charts, partnership agreements, or strategic plans show a "continuum of service," describing programs that demonstrate service to the most-in-need targeted populations.</li> <li>• The agency has a regular process of assessment to identify community needs and bases its program on those needs.</li> <li>• The agency changes its instructional program according to community needs.</li> </ul>	
<p><b>VII-A23</b> The agency has measurable goals and/or proficiency levels for learner outcomes for each priority level for which it receives federal funds. (Adult Education and Family Literacy Act, 20 USC 9241; <i>California State Plan 1999-2004</i>, Chapter 6)</p>	<p><b>Agency</b></p> <ul style="list-style-type: none"> <li>• <b>Review</b> the agency's goal statement or strategic plan both for benchmarks and for additional learner goals.</li> <li>• <b>Check</b> for goals for Adult Basic Education (ABE), ESL (including ESL-Citizenship), Family Literacy, Workplace-Based Literacy, and Adult Secondary Education (GED or high school diploma).</li> <li>• <b>Review</b> course outlines.</li> <li>• <b>Review</b> the agency's system for routine monitoring of goals and objectives, including identified monitoring dates throughout the year.</li> <li>• <b>Review</b> the assessment of the goals and proficiency levels for alignment with relevant CDE model program standards.</li> </ul>	<ul style="list-style-type: none"> <li>• All goals must be measurable and should specify the target measure for the year and how individual learners attain targeted goals.</li> <li>• Measures include learner level accomplishments; instructional activity; promotion, completion, and retention data (exit criteria); and program improvement strategies.</li> <li>• Course outlines contain goals.</li> <li>• The agency has set and is monitoring appropriate goals for workplace-based and family literacy programs.</li> </ul>	



<i>Compliance Item/Test</i>	<i>Review Level/Guidance</i>	<i>How to Achieve Compliance</i>	<i>Notes</i>
<b>VII-A24</b> The agency provides a written description of the minimum qualifications that instructors, tutors, counselors, coordinators, and administrators must have to work in the program. (Adult Education and Family Literacy Act, 20 USC 9241; <i>California State Plan 1999-2004</i> , Chapter 6)	<b>Agency</b> <ul style="list-style-type: none"> <li>• <b>Review</b> job announcements or descriptions, duty statements, and hiring procedures.</li> <li>• <b>Review</b> the annual staff development plan and records and evidence of training for both staff members and volunteers.</li> </ul>	<ul style="list-style-type: none"> <li>• Records of staff hiring interviews reflect a screening process for identifying qualified applicants.</li> <li>• Personnel records include documentation of instructors' qualifications.</li> <li>• Staff training records reflect the use of courses, in-service training, mentoring, or other learning situations to remediate staff skill deficiencies and assure acquisition of new information.</li> <li>• Staff training records show that administrators participate in ongoing training in administrative and management theory and practice.</li> <li>• Training on counseling activities and techniques is available for appropriate staff.</li> </ul>	
<b>VII-A25</b> The agency documents learner progress. Documented learner progress includes literacy skill-level improvements in reading, writing, and speaking the English language, in English language acquisition, and in problem solving, numeracy, and other literacy skills; placement in, retention in, or completion of postsecondary education, training, or unsubsidized employment or career advancement; a secondary school diploma or its equivalent; and attainment of learner-identified learning goals.  (Adult Education and Family Literacy Act, 20 USC 9212; <i>California State Plan 1999-2004</i> , Chapter 4)	<b>Agency and Site</b> <ul style="list-style-type: none"> <li>• <b>Review</b> student files and portfolios.</li> <li>• <b>Review</b> Management Information System (MIS) reports.</li> <li>• <b>Verify</b> that pretests and post-tests are appropriate, are clearly labeled, can be differentiated, and indicate learner progress.</li> </ul>	<ul style="list-style-type: none"> <li>• Literacy skill-level improvements in reading, writing, and speaking the English language are documented.</li> <li>• English language acquisition occurs.</li> <li>• Learners acquire problem-solving, numeracy, and other literacy skills.</li> <li>• Placement and retention in or completion of postsecondary education, job training, or unsubsidized employment or career advancement occurs.</li> <li>• Learners earn a secondary school diploma or its equivalent.</li> <li>• Attainment of learner-identified learning goals occurs.</li> </ul>	

<i>Compliance Item/Test</i>	<i>Review Level/Guidance</i>	<i>How to Achieve Compliance</i>	<i>Notes</i>
<b>VII-A26</b> The agency has in place a Management Information System that records participant outcomes and can monitor program performance against state performance standards.  (Adult Education and Family Literacy Act, 20 USC 9241; <i>California State Plan 1999-2004</i> , Chapter 6)	<b>Agency and Site</b> <ul style="list-style-type: none"> <li>• <b>Review</b> the TOPSpro or comparable system approved by the Department of Education, including entry and update records and summary reports.</li> <li>• <b>Verify</b> that pretests and post-tests of individual students are appropriate, are clearly labeled, can be differentiated, and indicate student progress.</li> </ul>	<ul style="list-style-type: none"> <li>• The MIS produces reports showing core performance indicators, including skills improvement, movement to secondary education, getting a job or a better job, or obtaining a high school diploma or equivalent.</li> <li>• The agency uses MIS data for a variety of purposes, including tracking learner gains; identifying successful instruction, program assessment, and improvement; and tracking achievement of assessment benchmarks and core indicators.</li> </ul>	
<b>VII-A27</b> The agency has on file data showing how it continues to improve, compared with the previous year, the literacy skills of participants for each priority level for which it receives federal funds.  (Adult Education and Family Literacy Act, 20 USC 9241; <i>California State Plan 1999-2004</i> , Chapter 6)	<b>Agency and Site</b> <ul style="list-style-type: none"> <li>• <b>Review</b> evidence (MIS reports or other data) showing learners' gains in CASAS terms to indicate past effectiveness.</li> <li>• <b>Review</b> the process used to evaluate data for program improvement.</li> <li>• <b>Review</b> evidence that the agency uses the appropriate assessments outlined in the relevant model program standards documents and presented in current accountability training and documents.</li> <li>• <b>Interview</b> the director, program coordinator, and teachers to determine how they use MIS reports for student feedback and program assessment and improvement.</li> </ul>	<ul style="list-style-type: none"> <li>• Year-end reports and other documents show learner progress and are the basis for evaluating program effectiveness.</li> <li>• The agency documents the numbers or percentages of learners completing courses and evaluates course completion data in comparison with those of other agencies or regions.</li> <li>• The agency has a process or plan to determine past effectiveness.</li> </ul>	

<i>Compliance Item/Test</i>	<i>Review Level/Guidance</i>	<i>How to Achieve Compliance</i>	<i>Notes</i>
<p><b>VII-A28</b>  The agency provides evidence of sufficient intensity and duration of the program for participants to achieve substantial learning gains.</p> <p>(Adult Education and Family Literacy Act, 20 USC 9241; <i>California State Plan 1999-2004</i>, Chapter 6)</p>	<p><b>Agency and Site</b></p> <ul style="list-style-type: none"> <li>• <b>Review</b> instructional activity schedules; recruitment brochures, fliers, and advertisements; and the yearly calendar for the agency.</li> <li>• <b>Review</b> evidence that learners are progressing at a reasonable pace and making substantial learning gains.</li> <li>• <b>Review</b> descriptions of individualized learning options.</li> <li>• <b>Interview</b> learners who selected these options.</li> <li>• <b>Review</b> the agency's data from workplace-based instruction and other individualized approaches that compare results with data from traditional instructional settings.</li> <li>• <b>Review</b> the attendance accounting system and summary attendance reports.  <b>Examine</b> the reasonableness of attendance reports (i.e., reports do not include national holidays and Sundays, and all students do not have perfect attendance).</li> <li>• <b>Review</b> course outlines.</li> <li>• <b>Observe</b> classroom instruction.</li> </ul>	<ul style="list-style-type: none"> <li>• Attendance data verify the successful intensity and duration of the program.</li> <li>• Program outcomes confirm effective educational practices, such as intake procedures, testing frequency, and varied instructional activities.</li> <li>• Attendance forms show the hourly recording of attendance for each student and contain the signatures of persons responsible for verifying the accuracy of the attendance records.</li> <li>• The reviewer can trace attendance data indicated on CASAS test records to daily attendance forms through a process for compilation.</li> </ul>	

<i>Compliance Item/Test</i>	<i>Review Level/Guidance</i>	<i>How to Achieve Compliance</i>	<i>Notes</i>
<b>VII-A29a</b> The agency bases adult educational practices, including those related to the teaching of reading, on a solid foundation of research and effective practices, including model program standards.  (Adult Education and Family Literacy Act, 20 USC 9241; <i>California State Plan 1999-2004</i> , Chapter 6)	<b>Agency and Site</b> <ul style="list-style-type: none"> <li>• <b>Review</b> evidence that the agency selects practices backed by research for each funded priority and instructional area.</li> <li>• <b>Determine</b> how the agency implements the relevant model program standards and whether it includes SCANS competencies for each funded priority.</li> <li>• <b>Observe</b> instruction for evidence of appropriate practices.</li> <li>• <b>Interview</b> instructors and learners.</li> </ul>	<ul style="list-style-type: none"> <li>• Staff members have completed training on the relevant model program standards.</li> <li>• Staff members have completed training on SCANS competencies, or the agency has developed a plan for providing information on SCANS.</li> <li>• Interviews with instructors and students and classroom observations indicate the use of a variety of teaching and learning modalities.</li> <li>• Staff development records reflect instruction in various teaching and learning modalities.</li> </ul>	
<b>VII-A29b</b> The agency has implemented model program standards for adult education programs for all ABE, ESL (including ESL-Citizenship), and Adult Secondary Education (ASE) classes.  (Adult Education and Family Literacy Act, 20 USC 9241; <i>California State Plan 1999-2004</i> , Chapter 6)	<b>Agency and Site</b> <ul style="list-style-type: none"> <li>• <b>Review</b> ABE, ESL (including ESL-Citizenship), and ASE course outlines for elements of model standards.</li> <li>• <b>Review</b> ABE, ESL (including ESL-Citizenship), and ASE staff development plans and their implementation.</li> <li>• <b>Interview</b> the adult education director, ABE, ESL (including ESL-Citizenship), and ASE coordinators and teachers.</li> <li>• <b>Interview</b> students from ABE, ESL (including ESL-Citizenship), and ASE courses.</li> <li>• <b>Observe</b> classroom instruction in ABE, ESL (including ESL-Citizenship), and ASE courses.</li> </ul>	<ul style="list-style-type: none"> <li>• The curriculum shows evidence of an articulated sequence of courses from beginning through advanced levels for ABE, ESL (including ESL-Citizenship), and ASE.</li> <li>• ABE, ESL (including ESL-Citizenship), and ASE course outlines contain all the levels of language proficiency and reflect the categories of general standards in outcomes and the categories of testing in assessment.</li> <li>• Curriculum, course outlines, teaching behaviors, and staff development reflect a system for and show evidence of the implementation of the model standards, including instruction in English.</li> </ul>	

<i>Compliance Item/Test</i>	<i>Review Level/Guidance</i>	<i>How to Achieve Compliance</i>	<i>Notes</i>
<b>VII-A30</b> The program provides learning in real-life contexts to ensure that learners obtain the skills to compete in the workplace and exercise the rights and responsibilities of citizenship.  (Adult Education and Family Literacy Act, 20 USC 9241; <i>California State Plan 1999-2004</i> , Chapter 6)	<b>Agency and Site</b> <ul style="list-style-type: none"> <li>• <b>Review</b> instructional materials, books, and curriculum.</li> <li>• <b>Observe</b> instruction.</li> <li>• <b>Interview</b> instructors and learners.</li> </ul>	<ul style="list-style-type: none"> <li>• Learners demonstrate specific real-life skills as a part of the evaluation process.</li> <li>• The agency integrates in the course of study real-life lessons appropriate to the personal goals, age, and skill level of the learner.</li> <li>• The agency integrates the acquisition of basic skills with real-life skills.</li> </ul>	
<b>VII-A31</b> The agency coordinates activities with elementary and secondary schools, post-secondary institutions, one-stop centers, job training programs, private sector partnerships, social service agencies, and other appropriate resources in the community to augment services.  (Adult Education and Family Literacy Act, 20 USC 9241; <i>California State Plan 1999-2004</i> , Chapter 6)	<b>Agency and Site</b> <ul style="list-style-type: none"> <li>• <b>Review</b> memoranda of understanding or other evidence of collaboration.</li> <li>• <b>Read</b> minutes of meetings of collaborating groups.</li> <li>• <b>Interview</b> counselors and learners.</li> <li>• <b>Review</b> the student referral process.</li> <li>• <b>Review</b> printed materials available on site about the services of other agencies.</li> </ul>	<ul style="list-style-type: none"> <li>• Documents reflect procedures for referring students to other agencies for resources and for receiving referrals of students from other agencies.</li> <li>• Memoranda of Understanding document the formal relationships among collaborating agencies.</li> <li>• A variety of printed materials about other agencies is available at the site.</li> <li>• Collaborative services are available at the site.</li> <li>• Agency records reflect successful attempts to remove barriers for participants (such as child care or transportation problems).</li> <li>• Only one of the collaborating agencies uses the student attendance and performance data records for federal adult education funding.</li> </ul>	
<b>VII-A32</b> The agency uses both flexible scheduling and support services to enable <b>all</b> students to attend and complete programs.  (Adult Education and Family Literacy Act, 20 USC 9241; <i>California State Plan 1999-2004</i> , Chapter 6)	<b>Agency and Site</b> <ul style="list-style-type: none"> <li>• <b>Review</b> agreements with other agencies that provide support services.</li> <li>• <b>Visit</b> sites of instructional activities.</li> <li>• <b>Interview</b> learners.</li> <li>• <b>Compare</b> attendance records at various sites and of various times and formats. Compare with needs assessments.</li> <li>• <b>Observe</b> whether buildings and instructional areas are barrier-free.</li> </ul>	<ul style="list-style-type: none"> <li>• Support services, such as counseling, child care, transportation, and career development, are available at the site or through referral.</li> <li>• Agency collaborations include employment and workforce development agencies and one-stop centers.</li> <li>• The agency has removed barriers and makes accommodations for learners' disabilities.</li> </ul>	

<i>Compliance Item/Test</i>	<i>Review Level/Guidance</i>	<i>How to Achieve Compliance</i>	<i>Notes</i>
<b>VII-A33</b> The agency uses the federal grant or contract to supplement an ongoing program provided by the applicant agency.  (California State Plan 1999-2004, Chapter 6)	<b>Agency and Site</b> <ul style="list-style-type: none"> <li>• <b>Review</b> past budget and financial records of the non-grant base literacy program as well as promotional materials, registration and attendance records, course outlines, and curriculum.</li> <li>• <b>Review</b> MIS reports on classes from the previous year.</li> <li>• <b>Interview</b> instructors or contact former students.</li> </ul>	<ul style="list-style-type: none"> <li>• Financial records indicate fiscal resources besides those from federal sources.</li> <li>• Past fliers, brochures, and public service announcements indicate the promotion of the program in the past.</li> <li>• Registration and attendance records show that the agency's ongoing program operated in the past.</li> <li>• MIS reports show goals achieved by students in the literacy program in the past.</li> </ul>	
<b>VII-A34</b> Funds made available for adult education under the grant supplement and do not supplant other state and local public funds expended for adult education and literacy activities.  (Adult Education and Family Literacy Act, 20 USC 9241; 20 USC 9225; California State Plan 1999-2004, Chapters 1 and 4)	<b>Agency</b> <ul style="list-style-type: none"> <li>• <b>Review</b> the agency's current budget and financial records.</li> <li>• <b>Interview</b> the budget office staff.</li> <li>• <b>Interview</b> the director of the adult education program regarding the primary source of funding for literacy instruction.</li> <li>• <b>Review</b> the agency's claims for reimbursement.</li> <li>• <b>Review</b> evidence that the community-based organization Board of Directors authorized the agency executive director to apply for federal funds.</li> </ul>	<ul style="list-style-type: none"> <li>• Current financial records indicate expenditure of funds from other state and local public funds for the base funding of the ongoing literacy instructional program.</li> <li>• Current financial records and receipts show expenditures of funds from federal adult education grants only for approved supplemental instructional materials and support services.</li> <li>• Minutes of Board of Directors' meetings or other records document the board's approval for the application for these federal funds.</li> </ul>	

<i>Compliance Item/Test</i>	<i>Review Level/Guidance</i>	<i>How to Achieve Compliance</i>	<i>Notes</i>
<b>VII-A35</b> The agency does not spend more than five percent of the grant or contract on administration unless CDE has approved a different rate.  (Adult Education and Family Literacy Act, 20 USC 9223; <i>California State Plan 1999-2004</i> , Chapter 6)	<b>Agency</b> <ul style="list-style-type: none"> <li>• <b>Review</b> the federal adult education funds budget and current financial records.</li> <li>• <b>Interview</b> the director of the adult education program regarding types of grant expenditures.</li> <li>• <b>Interview</b> the budget office staff.</li> <li>• <b>Review</b> sample budget expenditures and financial records.</li> </ul>	<ul style="list-style-type: none"> <li>• Budget categories and financial records and receipts clearly identify planned and current actual expenditures of all grant funds in approved categories.</li> <li>• The agency spends not less than 95 percent of the grant for adult education and literacy activities and uses the remaining amount, not to exceed 5 percent, for planning, administration, and interagency coordination.</li> <li>• The agency expends funds only for categories specified under allowable program costs: certified salaries, classified salaries, employee benefits, books and supplies, services, and other operating expenses as found in the <i>California School Accounting Manual</i>.</li> <li>• Financial records show that all expenditures fall within the five categories allowed for program costs.</li> </ul>	
<b>VII-A36a</b> Articles of Incorporation, filed with the Secretary of State's Office, are a requirement for each community-based organization receiving federal adult education funds.  ( <i>Corporations Code</i> 5120)	<b>Agency</b> <ul style="list-style-type: none"> <li>• <b>Review</b> a copy of the Articles of Incorporation.</li> </ul>	<ul style="list-style-type: none"> <li>• The Articles of Incorporation demonstrate that the agency is currently registered with the Secretary of State's Office as a nonprofit entity.</li> <li>• Articles of Incorporation state that the Board of Directors has full charge of property and business and the Executive Director is an advisor and consultant to the board.</li> </ul>	
<b>VII-A36b</b> Community-based organizations, existing as nonprofit agencies, must have on file an approved Franchise Tax Exemption Application and an Internal Revenue Service Tax Exemption Application.  ( <i>California Revenue and Tax Code</i> 23701[d]; <i>Internal Revenue Code</i> 501[c] [3])	<b>Agency</b> <ul style="list-style-type: none"> <li>• <b>Confirm</b> that these approved state and federal tax exemption applications are on file.</li> </ul>	<ul style="list-style-type: none"> <li>• A review of these documents provides further evidence that the agency has nonprofit status.</li> </ul>	

<i>Compliance Item/Test</i>	<i>Review Level/Guidance</i>	<i>How to Achieve Compliance</i>	<i>Notes</i>
<b>VII-A36c</b> Each community-based organization must file a Registration and Periodic Report (Charitable Trust [CT-2] form) annually with the Attorney General's Office, unless exempt.  <i>(California Government Code 12580 et seq.)</i>	<b>Agency</b> <ul style="list-style-type: none"> <li><b>Review</b> the CT-2 form.</li> </ul>	<ul style="list-style-type: none"> <li>The CT-2 form demonstrates that the agency has maintained the legal nonprofit and tax exempt status by annually filing the CT-2 form with the Attorney General's Office, Registry of Charitable Trusts, unless exempt. An agency is exempt from this requirement if the Attorney General's Office has approved it for extended reporting status. A new community-based organization has up to one and one-half years after it receives assets before it must submit its CT-2 form.</li> </ul>	
<b>VII-A36d</b> All agencies required to file the CT-2 form with the Attorney General's Office must have on file the most recently required IRS 990 or 990EZ form.  <i>(California Government Code 12580 et seq.)</i>	<b>Agency</b> <ul style="list-style-type: none"> <li><b>Review</b> the IRS 990 or 990EZ form.</li> </ul>	<ul style="list-style-type: none"> <li>The IRS 990 or 990EZ form demonstrates that the agency files required tax documents.</li> </ul>	



**CCR DOCUMENT REVISION  
ADULT EDUCATION  
2003-04**

**Summary of Changes**

- I-A1a** Item has been split into three categories: attendance, curriculum and administration. These sections are now identified by I-Ala, I-Alb, I-Alc.
- I-Alb** Item now is labeled I-Ald.
- I-A2** Six criteria for course outline are not in law, only in the Adult Education Handbook, which is not law at this time.
- I-A3** Adult Education Handbook citation is removed.
- I-A4** Code citations do not match item being tested. Citations have been changed.
- I-A5** Item needed to also refer to the fact that the job market study should be conducted every two years and that the program should be reviewed at that same interval. Item has been split into two parts, I-A5a and I-A5b.
- I-A6** Citation referring to chaptered law has been changed to an Education Code citation.
- I-A7** Education Code does not support this item and therefore item has been removed.
- VI-A9** State Hospitals have been added to the list of those exempt from access to the general public. This makes the item match Education Code language.
- VI-A11b** The Attendance and Accounting manual cannot be identified as a citation source. It has been removed.
- VI-A14** Item was re-written to reflect Education Code language.
- VI-A15** JTPA was removed as a reference.
- VI-A17** Item was an interpretation, not law. Item was removed
- VI-A18** Item becomes VI-A17a because previous item was removed. Due to complexity and size of this item, it was divided into two sections: VI-A17a and VI-A17b. Language was revised to clearly express that the first test for concurrently enrolled students is whether Adult Education funds are being supplanted.
- VI-A19a** Becomes VI-A18a.
- VI-A19b** Becomes VI-18b
- VI-A20a** Becomes VI-19a.
- VI-A20b** Item cites a legal opinion vs. Education Code. Legal opinion has been replaced by appropriate Education Code.